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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of: TSUDA, Hiroyuki

Group Art Unit: Not Yet Assigned

Serial No.: 10/573,888

Examiner: Not Yet Assigned

Filed: March 29, 2006

P.T.O. Confirmation No.: 9923

For: OPTICAL FUNCTIONAL WAVEGUIDE, OPTICAL MODULATOR, ARRAYED WAVEGUIDE GRATING, AND DISPERSION COMPENSATION CIRCUIT

INFORMATION DISCLOSURE STATEMENT
PURSUANT TO 37 CFR 1.97(b)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

June 28, 2006

Sir:

The attention of the Patent and Trademark Office is hereby directed to the documents listed on the attached Form PTO-1449. One copy of each of these documents is attached.

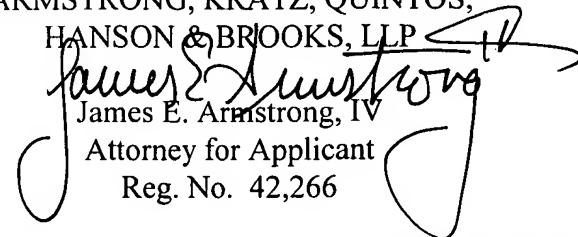
No fee or certification is required in connection with this Information Disclosure Statement, since it is being submitted prior to the issuance of a first official action on the merits or expiration of the three month period following the filing date or the entry of the national stage of the above-captioned application.

The above information is presented so that the Patent and Trademark Office can, in the first instance, determine any materiality thereof to the claimed invention. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the documents cited in the attached Form PTO-1449 be made of record therein and appear on the first page of any patent to issue therefrom.

The Commissioner is authorized to charge our Deposit Account No. 01-2340 for any fee which is deemed by the Patent and Trademark Office to be required to effect consideration of this statement.

Respectfully submitted,

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PATENT TRADEMARK OFFICE

Enclosures: PTO-1449
References (21)



INFORMATION DISCLOSURE CITATION PTO-1449	Att. No. 060247	Serial No. 10/573,888
	Applicant(s): TSUDA, Hiroyuki	
	Filing Date: March 29, 2006	Group Art Unit: Not Yet Assigned

U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Name	Date	Class	Subclass	Filing Date (If appropriate)
AA	5,502,590	Suzuki et al.	3/26/1996			
AB	2001/0009595	Okuno et al.	7/26/2001			
AC	2004/0028367	Nara et al.	2/12/2004			
AD	2003/0059148	Nishizawa et al.	3/27/2003			

FOREIGN PATENT DOCUMENTS

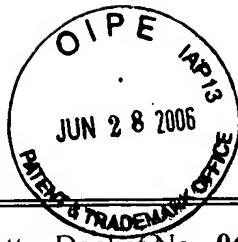
		Document No.	Date	Country	Translation (Yes or No)
	AE	7-318994	12/8/1995	Japan	Yes, abstract only. (corresponding to Reference AA)
	AF	2001-272561	10/5/2001	Japan	Yes, abstract only. (corresponding to Reference AB)
	AG	2003-279910	10/2/2003	Japan	Yes, abstract only. (corresponding to Reference AC)
	AH	2003-98559	4/3/2003	Japan	Yes, abstract only. (corresponding to Reference AD)
	AI	2004-045747	2/12/2004	Japan	Yes, abstract and machine translated claims and specification.

OTHER DOCUMENTS

AJ	A copy of the International Search Report for corresponding international patent application No.PCT/JP2005/001460. (Citing References AE-AI and BC-BI.)
AK	HASHIZUME, Y., et al.; "Polymer-assisted silica-based thermo-optic switch;" Abstract from the Proceedings of the 2002 IEICE General Conference; C-3-10, p. 142, (March 7, 2002). (Discussed in the Specification)

Examiner

Date Considered



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Examiner Initial	Document No.	Name	Date	Class	Subclass	Filing Date (If appropriate)
—	BA					
—	BB					

FOREIGN PATENT DOCUMENTS

		Document No.	Date	Country	Translation (Yes or No)
—	BC	11-167035	6/22/1999	Japan	Yes, abstract and machine translated claims and specification.
—	BD	9-152522	6/10/1997	Japan	Yes, abstract and machine translated claims and specification.
—	BE	2003-167221	6/13/2003	Japan	Yes, abstract and machine translated claims and specification.
—	BF	2003-084319	3/19/2003	Japan	Yes, abstract and machine translated claims and specification.
—	BG	1-248141	10/3/1989	Japan	Yes, abstract only.
—	BH	2000-029079	1/28/2000	Japan	Yes, abstract and machine translated claims and specification.
—	BI	2001-116937	4/27/2001	Japan	Yes, abstract only.
—	BJ	2315458	2/10/2001	Canada	(corresponding to Reference BI)
—	BK	10-239645	9/11/1998	Japan	Yes, abstract and machine translated claims and specification.
—	BL	5-289117	11/5/1993	Japan	Yes, abstract and machine translated claims and specification.
—	BM				

OTHER DOCUMENTS

—	BN	
Examiner		Date Considered